

Schedule 48

DEVELOPMENTAL DISABILITY SERVICE PROVIDERS

November 17, 2022

Nebraska Records Management Division
440 South 8th Street, Suite 210
Lincoln, NE 68508
(402) 471-2559

**REQUEST FOR APPROVAL
OF RECORDS RETENTION
AND DISPOSITION SCHEDULE**

SCHEDULE 48
AGENCY, BOARD OR COMMISSION DEVELOPMENTAL DISABILITY SERVICE PROVIDERS
DIVISION, BUREAU OR OTHER UNIT Formerly EASTERN NEBRASKA RETARDATION OFFICE
Supersedes Edition of October 14, 1999

**TO: STATE RECORDS ADMINISTRATOR
STATE OF NEBRASKA**

PART I – AGENCY STATEMENT:

In accordance with Section 84-1212.01, R.R.S. 1943, approval of the attached records retention and disposition schedule by the State Records Administrator is hereby requested. Retention periods and dispositions have been recommended by this agency after a careful evaluation of all factors listed in Section 84-1212.01, R.R.S. 1943.

SIGNATURE *Debbie Herbel*
Debbie Herbel (Nov 17, 2022 10:46 CST)

TITLE Executive Director

DATE Nov 17, 2022

PART II – APPROVAL OF STATE ARCHIVES:

The attached schedule has been analyzed, all archival and historical material has been properly identified, no disposition except by transfer to the State Archives has been recommended for such material, and this schedule is approved as submitted.

SIGNATURE *Anna Holley*
Anna Holley (Nov 17, 2022 13:03 CST)

DATE Nov 17, 2022

PART III – APPROVAL OF AUDITOR OF PUBLIC ACCOUNTS:

The attached schedule has been reviewed, all audit material has been properly identified, and this schedule is approved as submitted.

SIGNATURE *Pat Reding*
Pat Reding (Nov 17, 2022 13:32 CST)

DATE Nov 17, 2022

PART IV – APPROVAL OF STATE RECORDS ADMINISTRATOR:

The attached schedule has been reviewed in accordance with Section 84-1212.01, R.R.S. 1943, and is approved as submitted.

SIGNATURE *Robert B. Ewen*
Robert B. Ewen (Nov 17, 2022 13:33 CST)

DATE November 17, 2022

INSTRUCTIONS FOR USING THIS SCHEDULE

Records retention and disposition schedules are designed to serve as your records management guideline for storing and disposing of agency records, **regardless of the media on which they reside**, including paper, microfilm, diskettes, optical disks, CDs, DVDs, servers, computer hard drives, etc. This schedule was written specifically for records unique to your office and the Local Agencies General Records Schedule #24 contains those records common to most local government agencies. This retention schedule, which is approved by the State Records Administrator, provides your only ongoing authority to dispose of records. Listed below are some basic procedures to follow when applying this schedule.

DISPOSING OF RECORDS

1. Check your schedules to see what the retention period is. Note: Your agency's unique schedule will take precedence over General Records Schedule #24 for any items which have differences in retention requirements.
2. Dispose of records that have met their retention periods.
3. For records requiring a review of, or transfer to the **NE State Historical Society (State Archives)**, your agency is required to contact the State Archives to negotiate the transfer. Additionally, **once the records are accessioned into their collection, they become the property of the State Archives**. The State Archives may remove selected records in accordance with standard archival practices to ensure efficient access, organization and enduring historical value (Nebr. Rev. Stat. §82-107). Please contact their office by calling (402) 471-4783.
4. Complete a Records Disposition Report for the records you dispose. The Records Disposition Report form is located on the Secretary of State Records Management website. https://appengine.egov.com/apps/ne/sos_records_disposition_report. This report establishes that the destruction was performed in your normal course of business.

NON-SCHEDULED RECORDS

Contact a Records Management Specialist in Records Management to see whether the records will fit under an item already on the schedule. If they do not, they must be retained until they are added to the next revision of your schedule.

SCHEDULE UPDATE

It is the responsibility of each agency to periodically update their schedule. A Records Management Specialist in Records Management can assist you with the schedule update, which may involve adding new records series and making revisions to existing items. Keeping your schedule current will ensure you have the ongoing authority to discard records when their useful life has ended.

QUESTIONS

If you have any questions about these procedures, please contact your agency Records Officer or the Records Management Specialist in Records Management. They will help you with any questions the schedule may present, including: transferring records to the State Records Center or microfilming records, scanning records, etc.

**Records Management Division
3242 Salt Creek Circle
Lincoln, NE 68504
402-471-2559**

SCHEDULE 48
DEVELOPMENTAL DISABILITY SERVICE PROVIDERS

November 17, 2022

Retention requirements are for all records, regardless of the media on which they reside, unless otherwise noted.

Supersedes Edition of October 14, 1999

ITEM NUMBER	RECORD TITLE	DESCRIPTION/EXAMPLES	RETENTION	REFERENCE/COMMENTS
48-2-1-2	ADMISSION/INTAKE-FORMS	Intake forms are consents, such as medical photography, etc.	ADMITTED: 7 years after final termination, which includes death or 3 years after a minor child has reached the age of majority, whichever is later. NOT ADMITTED: 90 days after last activity	
48-2-2-2	BENEFITS-SNAP CERTIFICATION	Supplemental Nutrition Assistance Program acceptance or denial communication.	Only current certification and then 1 year after the person is no longer receiving SNAP assistance.	
48-2-2-3	BENEFITS-STATE AND FEDERAL	Forms and correspondence regarding the receipt of federal and state benefits, such as SSI and SSA funds.	7 years after date of occurrence.	
48-2-2-4	BENEFITS-SERVICE AUTHORIZATION FORMS	Includes Title XIX funds, Case Information Summary DSS-4, and other service authorizations.	7 years after final termination, which includes death or 3 years after a minor child has reached the age of majority, whichever is later.	
48-2-3-1	LEGAL-RECORDS	Includes Birth Certificate (copy), Social Security card (copy), letters of legal guardianship.	7 years	
48-2-3-2	LEGAL-CONCENT FORMS	Consent to perform medical, dental, photography, video, etc.	7 years after final termination, which includes death or 3 years after a minor child has reached the age of majority, whichever is later.	
48-2-3-3	LEGAL-COURT RELATED DOCUMENTS	May include such items as subpoenas, court orders and notice of hearings.	7 years after final termination, which includes death or 3 years after a minor child has reached the age of majority, whichever is later.	
48-2-3-4	LEGAL-RELEASE OF INFORMATION	May include release of medical information.	7 years after final termination, which includes death or 3 years after a minor child has reached the age of majority, whichever is later.	
48-2-4-1	MEDICAL AND DENTAL RECORDS	Includes: History and physical examination, admission exam and most recent (only); hospital discharge summary for most recent hospitalization, if applicable; immunizations; medication history form; hospitalization record form; physician's consultations; nursing assessment and care plan.	PERMANENT ALL OTHER MEDICAL AND DENTAL INFORMATION: 7 years after the person's termination, which includes death or 3 years after a minor child has reached the age of majority.	
48-2-5-1	EVALUATIONS-BEHAVIOR MANAGEMENT	Functional behavior assessment, Behavior Support Program, etc.	7 years after final termination, which includes death or 3 years after a minor child has reached the age of majority, whichever is later.	

ITEM NUMBER	RECORD TITLE	DESCRIPTION/EXAMPLES	RETENTION	REFERENCE/COMMENTS
48-2-5-2	EVALUATIONS-PSYCHOLOGICAL	Admission/earliest and most recent only.	7 years after final termination, which includes death or 3 years after a minor child has reached the age of majority, whichever is later.	
48-2-5-3	EVALUATIONS-SOCIAL HISTORY	Includes communication from person and stakeholders that discuss important life events, people, pertinent family history/dynamics etc.	7 years after the person's termination, which includes death or 3 years after a minor child has reached the age of majority.	
48-2-5-4	EVALUATIONS-PARAMEDICAL	Paramedical evaluations include disciplines such as speech, vision, hearing, occupational therapy, physical therapy and nutrition.	7 years after the person's termination, which includes death or 3 years after a minor child has reached the age of majority.	
48-2-5-6	EVALUATIONS-CORRESPONDENCE	May include items pertaining to the initiation, termination or provision of services.	7 years after the person's termination, which includes death or 3 years after a minor child has reached the age of majority.	
48-2-5-7	EVALUATIONS-VOCATIONAL HABILITATION AND SPECIAL EDUCATION INFORMATION	May include Vocational and Special Education information, teacher's home visit reports, report cards, Personnel Action Forms.	7 years after the person's termination, which includes death or 3 years after a minor child has reached the age of majority.	
48-2-9-1	ISP(INDIVIDUAL SUPPORT PLAN)-PROGRAM GOAL FORMS	Includes Program goal forms and plans, restrictive programs and approvals, training forms, behavior medication reviews, monthly goal reviews and formal graphs.	7 years after the person's final termination, which includes death or 3 years after a minor child has reached the age of majority, whichever is later.	
48-2-9-2	ISP-STRENGTHS AND NEEDS	Organizes the assessment results by developmental area and summarizes the individual's skills and training needs within each of these areas.	7 years after the person's termination, which includes death or 3 years after a minor child has reached the age of majority.	
48-2-9-3	ISP-ASSESSMENT SUMMARY SHEETS	Summarizes the results of the assessment used to identify the developmental skill levels of the individual.	7 years after the person's termination, which includes death or 3 years after a minor child has reached the age of majority.	
48-2-10	PERSONAL SUMMARY LOGS	Summary listing of address and phone numbers of the individual, his/her parent/guardian, emergency contacts, physician and dentist. Forms also include name of service coordinator, a list of allergies and dates of examinations and evaluations.	7 years after the person's termination, which includes death or 3 years after a minor child has reached the age of majority.	
48-2-12-1	MISCELLANEOUS-PHOTOGRAPH		Retain most recent only during services	
48-2-12-1	MISCELLANEOUS-INFORMATION	May include such items as incident reports, and any other items not covered by any other schedule item in the client file.	7 years after the person's termination, which includes death or 3 years after a minor child has reached the age of majority.	
48-3-1	ATTENDANCE RECORDS	record of supports provided	Immediately dispose of obsolete records	OBSOLETE

ITEM NUMBER	RECORD TITLE	DESCRIPTION/EXAMPLES	RETENTION	REFERENCE/COMMENTS
48-3-2	ASSESSMENTS	May include the TSMI, CAMS, and others.	7 years after the person's termination, which includes death or 3 years after a minor child has reached the age of majority.	Retained in compliance with Nebraska NAC 480.2-3 (effective 5-8-95).
48-3-3	CLOTHING/POSSESSION INVENTORY	Listing of possessions including but not limited to clothing, electronics, furniture, etc.	1 year after termination from residential services.	
48-3-5	DAILY SCHEDULE	all paper versions of IPP (now titled ISP by service coordination)	Immediately dispose of obsolete records	Retained in compliance with Center for the Developmentally Disabled (CDD) Title 175.3 – 005.06D4 (effective 5-8-1984). A new schedule is developed at the annual IPP. The current schedule is available for audit as required by CDD regulations Title 175.3.
48-3-7	MENUS and DIETITIAN'S NOTES	Menus are retained in compliance with CDD regulations, Title 175.3 - 004.09A4. Regulations require them to be filed for 6 months in the centers. Dietitian's notes are not required by regulatory bodies.	6 months	
48-3-8	VACATION AND OUTING REQUESTS	Request to travel out of the local area	After vacation or outing.	
48-3-9	VOCATIONAL PRODUCTION REPORTS		5 years	
48-3-10	PERSONAL FUNDS	record of personal funds management	5 years after the person's termination, which includes death or 3 years after a minor child has reached the age of majority or a maximum of 7 if no audit has been performed	
48-3-11	BEHAVIOR BASELINE DATA SHEET	baseline data documentation sheet	4 years	
48-3-12	RAW PROGRAMMATIC DATA	program data documentation sheet	After 2 annual program years	












Schedule 48 DUET


Final Audit Report


2022-11-17


Created:	2022-11-16
By:	Austin Rhodes (austin.rhodes@nebraska.gov)
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-  Document created by Austin Rhodes (austin.rhodes@nebraska.gov)
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-  Document emailed to sara.hampton@duetne.org for signature
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-  Document e-signed by Anna Holley (anna.holley@nebraska.gov)
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